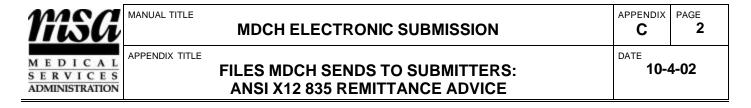


C FILES MDCH SENDS TO SUBMITTERS

MDCH sends two types of files to submitters described in the following pages:

- C1 ANSI X12 834 Remittance Advice files
- C2 ANSI X12 997 Functional Acknowledgment files

There are two versions of ANSI X12 997 Functional Acknowledgment files: Version 3051 and Version 4010. Both are described in the following pages.



C1 ANSI X12 835 REMITTANCE ADVICE

The ANSI X12 835 Remittance advice is under development.



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FILES MDCH SENDS TO SUBMITTERS: **ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT** DATE 10-4-02

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C2 ANSI X12 997 ACKNOWLEDGMENT FILES

The following pages detail the information sent in both version 3051 and 4010 of the ANSI X12 997 Acknowledgment files.



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051

DATE 10-4-02

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051

997 Functional Acknowledgment

Functional Group ID=FA

Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

	Pos.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
M	010	ST	Transaction Set Header	M	1		n1
M	020	AK1	Functional Group Response Header	M	1		n2
			LOOP ID - AK2			999999)
	030	AK2	Transaction Set Response Header	О	1		n3
			LOOP ID - AK3			999999)
	040	AK3	Data Segment Note	O	1		c1
	050	AK4	Data Element Note	О	99		
M	060	AK5	Transaction Set Response Trailer	M	1		
M	070	AK9	Functional Group Response Trailer	M	1		
M	080	SE	Transaction Set Trailer	M	1		

Transaction Set Notes

- These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments.
 - The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code. There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
- 2. AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
- 3. AK2 is used to start the acknowledgement of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

Transaction Set Comments

The data segments of this standard are used to report the results of the syntatical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards for transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

Segment: ST Transaction Set Header

Position: 010

Loop: Level:

Usage: Mandatory

Max Use: 1

Purpose: To in

To indicate the start of a transaction set and to assign a control number

Semantic Notes: 1 The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition

(e.g., 810 selects the Invoice Transaction Set).

Comments:

Syntax Notes:

Notes: 997 FUNCTIONAL ACKNOWLEDGMENT

Data Element Summary

Ref. Data Des. Element Name **Attributes** 143 M ID 3/3 M ST01 **Transaction Set Identifier Code** Code uniquely identifying a Transaction Set 997 FUNCTIONAL ACKNOWLEDGMENT Refer to 003051 Data Element Dictionary for acceptable code values. ST02 M 329 **Transaction Set Control Number** Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set The Transction Set Control Numbers in ST02 and SE02 must be identical. The number is assigned by the originator and must be unique within a functional group (GS-GE). The number also aids in error resolution research. For example, start with the number 0001 and increment from there.

Use the corresponding value in SE02 for this transaction set.



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051

ANSI X12 997 Functional Acknowledgment, Version 3051 (continued) C2.1

AK1 Functional Group Response Header **Segment:**

Position:

Loop: Level:

Usage: Mandatory

Max Use:

Purpose: To start acknowledgment of a functional group

Syntax Notes: Semantic Notes:

AK101 is the functional ID found in the GS segment (GS01) in the

functional group being acknowledged.

AK102 is the functional group control number found in the GS segment in

the functional group being acknowledged.

Comments:

Data Element Summary

	Ref.	Data			
	Des.	Element	<u>Name</u>		
	Attributes				
M	AK101	479	Functional Identifier Code	M	ID 2/2
			Code identifying a group of application related transaction sets		
			HC Health Care Claim (837)		
M	AK102	28	Group Control Number	M	N0 1/9
			Assigned number originated and maintained by the sender		
			SEMANTIC: AK102 is the functional group control number found	in the	GS Segment
			in the functional group being acknowledged.		



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051 DATE 10-4-02

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

AK2 Transaction Set Response Header Segment: **Position:** Loop: AK2 Optional Level: Usage: Optional Max Use: **Purpose:** To start acknowledgment of a single transaction set **Syntax Notes:** Semantic Notes: AK201 is the transaction set ID found in the ST segment (ST01) in the transaction set being acknowledged. AK202 is the transaction set control number found in the ST segment in the transaction set being acknowledged. **Comments: Data Element Summary** Ref. Data Des. Element Name **Attributes** M AK201 143 Transaction Set Identifier Code M ID 3/3 Code uniquely identifying a Transaction Set SEMANTIC: AK201 is the transaction set ID found in the ST Segment in the transaction set being acknowledged. X12.86 Health Care Claim M AK202 329 **Transaction Set Control Number** M AN 4/9 Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set SEMANTIC: AK202 is the transaction set control number found in the ST Segment in the tranaction set being acknowledged.



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

	Segment:		Data Segment Note	
	Position:	040		
	Loop:	AK3	Optional	
	Level:	0		
	Usage:	Optional		
	Max Use: Purpose:	1 To report	errors in a data segment and identify the location of the dat	a sagmant
	Syntax Notes:	10 report	errors in a data segment and identity the location of the dat	a segment
S	emantic Notes:			
	Comments:			
	Notes:	The data	segments of this standard are used to report the results of the	e syntactical
			of the functional groups of transaction setsl they report the	
		syntax co	emplies with the standards for transaction sets and functiona	l groups. They do
		not repor	t on the semantic meaning of the transaction sets (for examp	ole, on the ability of
		the receiv	ver to comply with the request of the sender).	
			Data Element Summary	
	Ref.	Data	Data Element Summary	
	Des.	Element	Name	
	Attributes			
1	AK301	721	Segment ID Code	M ID 2/3
			Code defining the segment ID of the data segment in error (See A	Appendix A - Number
			77)	£ .
1	AK302	719	This is the two or three characters which occur at the beginning o Segment Position in Transaction Set	M N0 1/6
•	711302	717	The numerical count position of this data segment from the start of	
			the transaction set header is count position 1	
			This is the numeric position number of the segment in the Transa	ction Set with the ST
			Segment being position 1	0 137111
	AK303	447	Loop Identifier Code The loop ID number given on the transaction set diagram is the volume of the loop ID number given on the transaction set diagram is the volume.	O AN 1/4
			element in segments LS and LE	arue for this data
			The loop ID Number given on the Transaction Set Diagramis rec	ommended as the value
			for this data segment in the segments LS and LE.	
	AK304	720	Segment Syntax Error Code	O ID 1/3
			Code indicating error found based on the syntax editing of a segn	nent
			This code is required if an error exists. 1 Unrecognized segment ID	
			2 Unexpected segment	
			3 Mandatory segment missing	
			4 Loop Occurs Over Maximum Times	
			5 Segment Exceeds Maximum Use	
			6 Segment Not in Defined Transaction Set	
			7 Segment Not in Proper Sequence 8 Segment Has Data Element Errors	
			5 Segment Has Data Element Ellots	



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051

ANSI X12 997 Functional Acknowledgment, Version 3051 (continued) C2.1

AK4 Data Element Note **Segment:**

Position: 050

Loop: AK3 Optional

Data

Level:

Ref.

Usage: Optional Max Use:

Purpose: Syntax Notes:

To report errors in a data element and identify the location of the data element

Semantic Notes: Comments:

Data Element Summary

	Des.	Element	<u>Name</u>					
	Attributes							
M	AK401	C030	Position in Segment	M				
			Code indicating the relative position of a simple data element, or the		•			
			a composite data structure combined with the relative position of the					
			element within the composite data structure, in error; the count starts					
	G02004		simple data element or composite data structure immediately following					
M	C03001	722	Element Position in Segment		N0 1/2			
			This is used to indicate the relative position of a simple data element,					
			position of a composite data structure with the relative position of the the composite data structure, in error; in the data segment the count s					
			simple data element or composite data structure immediately following					
	C03002	1528	Component Data Element Position in Composite	O un	No 1/2			
	C03002	1320	To identify the component data element position within the composite	~	- 10 -1-			
			Used when an error occurs in a composite data element and the composite					
			position can be determined.	,00111	duta oromoni			
	AK402	725	Data Element Reference Number	o	N0 1/4			
		Reference number used to locate the data element in the Data I			ctionary			
			Use when data element number can be determined. The data Element Reference					
			Number fo rthis data element is 725. For example, all reference num	bers	are found with			
			the segment descriptions in this implementation guide.					
M	AK403	723	Data Element Syntax Error Code	M	ID 1/3			
			Code indicating the error found after syntax edits of a data element					
			1 Mandatory data element missing					
			 Conditional required data element missing. Too many data elements. 					
			Too many data elements. Data element too short.					
			5 Data element too long.					
			6 Invalid character in data element.					
			7 Invalid code value.					
			8 Invalid Date					
			9 Invalid Time					
			10 Exclusion Condition Violated					
	AK404	724	Copy of Bad Data Element	O	AN 1/99			
			This is a copy of the data element in error					
			Used to provide a copy of erroneous data to the original submitte, but	t this	is not used if			
			the error reported is an invalid character.					



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051 10-4-02

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

Segment: AK5 Transaction Set Response Trailer

Position: 060

Loop: AK2 Optional

Data

Level:

Usage: Mandatory

Max Use: 1

Ref.

Purpose: To acknowledge acceptance or rejection and report errors in a transaction set

Syntax Notes: Semantic Notes: Comments:

Data Element Summary

	Des.	Element	<u>Name</u>		
	<u>Attributes</u>				
M	AK501	717	Transaction Set Acki		M ID 1/1
				t or reject condition based on the syntax editing	g of the transaction set
			A	Accepted	
			E	Accepted But Errors Were Noted	
			M	Rejected, Message Authentication Code (MA	C) Failed
			R	Rejected	
			W	Rejected, Assurance Failed Validity Tests	
			X	Rejected, Content After Decryption Could No	•
	AK502	718	Transaction Set Synt		O ID 1/3
				found based on the syntax editing of a transacti	on set
			1	Transaction Set Not Supported	
			2	Transaction Set Trailer Missing	
			3	Transaction Set Control Number in Header ar	
			4	Number of Included Segments Does Not Mat	ch Actual Count
			5	One or More Segments in Error	
			6	Missing or Invalid Transaction Set Identifier	
			7	Missing or Invalid Transaction Set Control N	umber
			8	Authentication Key Name Unknown	
			9	Encryption Key Name Unknown	
			10	Requested Service (Authentication or Encryp	ted) Not Available
			11	Unknown Security Recipient	
			12	Incorrect Message Length (Encryption Only)	
			13	Message Authentication Code Failed	
			15	Unknown Security Originator	
			16	Syntax Error in Decrypted Text	
			17	Security Not Supported	
			19	S1E Security End Segment Missing for S1S S	Security Start
			20	Segment	Canada End
			20	S1S Security Start Segment Missing for S1E	Security End
			21	Segment S2E Segment Missing for S2S S	Committee Stant
			21	S2E Security End Segment Missing for S2S Segment	security Start
			22	S2S Security Start Segment Missing for S2E	Sometry End
			22	Segment Segment Wissing for SZE	Security End
			23	Transaction Set Control Number Not Unique	within the
			23	Functional Group	within the
	AK503	718	Transaction Set Synta	•	O ID 1/3
			Code indicating error f	found based on the syntax editing of a transacti	on set
			Use the same codes inc	dicated in AK502.	
			Refer to 003051 Data	Element Dictionary for acceptable code values.	



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051

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C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

AK504	718	Transaction Set Syntax Error Code	O	ID 1/3
		Code indicating error found based on the syntax editing of a transa	ction s	et
		Use the same codes indicated in AK502.		
		Refer to 003051 Data Element Dictionary for acceptable code value	ies.	
AK505	718	Transaction Set Syntax Error Code	O	ID 1/3
		Code indicating error found based on the syntax editing of a transa	ction s	et
		Use the same codes indicated in AK502.		
		Refer to 003051 Data Element Dictionary for acceptable code value	ies.	
AK506	718	Transaction Set Syntax Error Code	O	ID 1/3
		Code indicating error found based on the syntax editing of a transa	ction s	et
		Use the same codes indicated in AK502.		
		Refer to 003051 Data Element Dictionary for acceptable code value	ies.	



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051 DATE 10-4-02

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

	Segment: Position:	070		roup Response Trailer		
	Loop:					
	Level:	37 1.				
	Usage: Max Use:	Mandator 1	ry			
	Purpose:		wledge accentan	ice or rejection of a functional group and re	enort the	
	i di pose.			action sets from the original trailer, the acc		
	G	and the re	eceived sets in th	is functional group		
	Syntax Notes: Semantic Notes:					
	Comments:	1 If AI	7901 is 'A' or 'F'	, then the transmitted functional group is a	ccented If	
	Comments.			e transmitted group is rejected.	ссериси. п	
			Data Elen	nent Summary		
	Ref.	Data		•		
	Des.	Element	Name			
M	Attributes	715	Ermetional Co	sour Aslandados Codo	м	ID 1/1
M	AK901	715		coup Acknowledge Code g accept or reject condition based on the sy		
			group	g accept of reject condition based on the s	y max canng	or the functional
			Comment. if A group is accept	AK901 contains the value "A" or "E". then to	the transmitte	ed functional
			A	Accepted		
			E	Accepted, But Errors Were Noted.		
			M P	Rejected, Message Authentication		
			R	Partially Accepted, At Least One 7 Rejected	Transaction S	et was Rejected
			W	Rejected, Assurance Failed Validit	ty Tests	
			X	Rejected, Content After Decryption		
M	AK902	97		ransaction Sets Included of transaction sets included in the functional		NO 1/6
			(transmission)	group terminated by the trailer containing as in the original GE01.		
M	AK903	123	Number of Re	eceived Transaction Sets	M	N0 1/6
M	A TZ 0.0.4	2		ansaction Sets received	м	NO 1/6
M	AK904	2		ccepted Transaction Sets repted Transaction Sets in a Functional Gro	M oun	N0 1/6
	AK905	716		roup Syntax Error Code	0	ID 1/3
			and/or trailer	g error found based on the syntax editing of	of the functio	nal group header
			1 2	Functional Group Not Supported Functional Group Version Not Sup	nnortad	
			3	Functional Group Version Not Sup Functional Group Trailer Missing	pported	
			4	Group Control Number in the Fund	ctional Group	Header and
			5	Trailer Do Not Agree Number of Included Transaction S Count	Sets Does No	t Match Actual
			6	Group Control Number Violates S		
			10	Authentication Key Name Unknow	vn	
			11 12	Encryption Key Name Unknown Requested Service (Authentication	or Encryption	on) Not Available
			13	Unknown Security Recipient	. or Enerypti	on, 110t Avanable
			14	Unknown Security Originator		
			15	Syntax Error in Decrypted Text		



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051 10-4-02

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (continued)

		16	Security Not Supported
		17	Incorrect Message Length (Encryption Only)
		18	Message Authentication Code Failed
		19	S1E Security End Segment Missing for S1S Security Start
			Segment
		20	S1S Security Start Segment Missing for S1E End Segment
		21	S2E Security End Segment Missing for S2S Security Start
		21	Segment
		22	S2S Security Start Segment Missing for S2E Security End
			Segment
AK906	716	Functional C	Froup Syntax Error Code O ID 1/3
AKOO	/10		ng error found based on the syntax editing of the functional group heade
		and/or trailer	ng error round based on the syntax editing of the functional group heads
			codes indicated in AK905.
			51 Data Element Dictionary for acceptable code values.
AK907	716		roup Syntax Error Code O ID 1/3
AK907	AK907 710		ng error found based on the syntax editing of the functional group heads
		and/or trailer	ing error round based on the syntax editing of the functional group heads
			codes indicated in AK905.
		0.00 0.00	
AK908	716		51 Data Element Dictionary for acceptable code values. Froup Syntax Error Code O ID 1/3
AK900	/10		ng error found based on the syntax editing of the functional group heade
		and/or trailer	ng error round based on the syntax editing of the functional group heads
			codes indicated in AK905.

A \$7,000	51 6		51 Data Element Dictionary for acceptable code values.
AK909	716		roup Syntax Error Code O ID 1/3
			ng error found based on the syntax editing of the functional group heade
		and/or trailer	1 1 9 11 17007
			codes indicated in AK905.
		Refer to 0030	51 Data Element Dictionary for acceptable code values.



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 3051 10-4-02

C2.1 ANSI X12 997 Functional Acknowledgment, Version 3051 (concluded)

Segment:	SE	Transaction Set Trailer

Position: 080 Loop:

Loop: Level:

Usage: Mandatory

Max Use:

Purpose: To indicate the end of the transaction set and provide the count of the

transmitted segments (including the beginning (ST) and ending (SE) segments).

Syntax Notes:

Semantic Notes:

Comments: 1 SE is the last segment of each transaction set.

Data Element Summary

	Ref. Des.	Data <u>Element</u>	<u>Name</u>		
M	<u>Attributes</u> SE01	96	Number of Included Segments	М	NO 1/10
111	5201	70	Total number of segments included in a transaction set including ST		
M	SE02	329	Transaction Set Control Number	\mathbf{M}	AN 4/9
			Identifying control number that must be unique within the transaction group assigned by the originator for a transaction set The Transction Set Control Numbers in ST02 and SE02 must be iden is assigned by the originator and must be unique within a functional and The number also aids in error resolution research. For example, start 0001 and increment from there.	tical group	The number (GS-GE).



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010

ANSI X12 997 Functional Acknowledgment, Version 4010 C2.2

997 Functional Acknowledgment

Functional Group ID=FA

Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

	Pos.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments	
M	010	ST	Transaction Set Header	M	1		n 1	
M	020	AK1	Functional Group Response Header	M	1		n2	
			LOOP ID - AK2			999999)	
	030	AK2	Transaction Set Response Header	О	1		n3	
			LOOP ID - AK3			999999)	
	040	AK3	Data Segment Note	О	1		c1	
	050	AK4	Data Element Note	O	99			
M	060	AK5	Transaction Set Response Trailer	M	1			
M	070	AK9	Functional Group Response Trailer	M	1			
M	080	SE	Transaction Set Trailer	M	1			

Transaction Set Notes

- These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments. Nor shall a Functional Acknowledgment be sent to report errors in a previous Functional Acknowledgment.
 - The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code. There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
- AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
- AK2 is used to start the acknowledgement of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

Transaction Set Comments

The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards for transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010 DATE 10-4-02

ANSI X12 997 Functional Acknowledgment, Version 4010 (continued) C2.2

 $ST_{Transaction\ Set\ Header}$ Segment:

010 **Position:**

Loop:

Level:

Usage: Mandatory

Max Use:

Purpose:

Syntax Notes: Semantic Notes:

To indicate the start of a transaction set and to assign a control number

The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition

(e.g., 810 selects the Invoice Transaction Set).

Comments:

Data Element Summary

	Ref.	Data			
	Des.	Element	<u>Name</u>		
	<u>Attributes</u>				
M	ST01	143	Transaction Set Identifier Code	\mathbf{M}	ID 3/3
			Code uniquely identifying a Transaction Set		
			276 Health Care Claim Status Request		
			Health Care Claim		
M	ST02	329	Transaction Set Control Number	\mathbf{M}	AN 4/9
			Identifying control number that must be unique within the transact	ion set	functional
			group assigned by the originator for a transaction set		
			The Transaction Set Control Number in ST02 and SE02 must be id	lentica!	l. The number
			is assigned by the originator and must be unique within a functional	l grour	(GS-GE).
			The number also aids in error resolution research. For example, st	art with	h the numnber
			0001 and increment from there.		
			Use the corresponding value in SE02 for this transaction set.		



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010 10-4-02

C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

Segment: AK1 Functional Group Response Header

Position: 020

Loop:

Level:

Usage: Mandatory

Max Use: Purpose:

To start acknowledgment of a functional group

Syntax Notes: Semantic Notes:

1 AK101 is the functional ID found in the GS segment (GS01) in the

functional group being acknowledged.

2 AK102 is the functional group control number found in the GS segment in

the functional group being acknowledged.

Comments:

Data Element Summary

	Ref. <u>Des.</u> Attributes	Data <u>Element</u>	Name		
M	AK101	479	Functional Identifier Code	M	ID 2/2
			Code identifying a group of application related transaction sets HC Health Care Claim (837) HR Health Care Claim Status Request (276)		
M	AK102	28	Group Control Number Assigned number originated and maintained by the sender SEMANTIC: AK102 is the functional group control number found in the functional group being acknowledged.	M d in the	No 1/9 GS Segment



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010

C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

Segment: AK2 Transaction Set Response Header

Position: 030

Loop: AK2 Optional

Level:

Usage: Optional
Max Use: 1

Purpose:

To start acknowledgment of a single transaction set

Syntax Notes: Semantic Notes:

1 AK201 is the transaction set ID found in the ST segment (ST01) in the

transaction set being acknowledged.

2 AK202 is the transaction set control number found in the ST segment in the

transaction set being acknowledged.

Comments:

Data Element Summary

Ref. Data Des. Element Name **Attributes** M AK201 143 **Transaction Set Identifier Code** ID 3/3 Code uniquely identifying a Transaction Set SEMANTIC: AK201 is the transaction set ID found in hte ST Segment in the transaction set being acknowledged. 276 Health Care Claim Status Request 837 Health Care Claim M AK202 329 **Transaction Set Control Number** M AN 4/9 Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

SEMANTIC: AK202 is the transaction set control number found in the ST Segment in

the transaction set being acknowledged.



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C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

 ${\scriptstyle Segment:}\quad AK3 \mid_{Data \; Segment \; Note}$

Position: 040

Loop: AK3 Optional

Level:

Usage: Optional Max Use: 1

Purpose:

To report errors in a data segment and identify the location of the data segment

Syntax Notes: Semantic Notes: Comments:

Data Element Summary

	Ref.	Data			
	Des.	Element	Name.		
	Attributes				
M	AK301	721	Segment ID Code	M	ID 2/3
			Code defining the segment ID of the data segment in error (See Ap	pendix	A - Number
			77)		
			This is the two or three characters which occur at the beginning of	a segm	nent.
M	AK302	719	Segment Position in Transaction Set	\mathbf{M}	N0 1/6
			The numerical count position of this data segment from the start of	the tra	insaction set:
			the transaction set header is count position 1		
			This is the numeric position number of the error segment in the Tra	nsacti	on Set with the
			ST Segment being position 1.		
	AK303	447	Loop Identifier Code	0	AN 1/6
			The loop ID number given on the transaction set diagram is the val-	ue for	this data
			element in segments LS and LE		
	AK304	720	Segment Syntax Error Code	O	ID 1/3
			Code indicating error found based on the syntax editing of a segme	nt	
			This code is required if an error exists.		
			1 Unrecognized segment ID		
			2 Unexpected segment		
			3 Mandatory segment missing		
			4 Loop Occurs Over Maximum Times		
			5 Segment Exceeds Maximum Use		
			6 Segment Not in Defined Transaction Set		
			7 Segment Not in Proper Sequence		
			8 Segment Has Data Element Errors		



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010

C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

AK4 Data Element Note Segment: **Position:** Loop: AK3 Optional Level: Usage: Optional Max Use: **Purpose:** To report errors in a data element or composite data structure and identify the location of the data element **Syntax Notes: Semantic Notes:** In no case shall a value be used for AK404 that would generate a syntax 1 error, e.g., an invalid character. **Comments: Data Element Summary** Data Ref. Des. Element Name **Attributes** M AK401 C030 **Position in Segment** Code indicating the relative position of a simple data element, or the relative position of a composite data structure combined with the relative position of the component data element within the composite data structure, in error; the count starts with 1 for the simple data element or composite data structure immediately following the segment ID C03001 M 722 **Element Position in Segment** This is used to indicate the relative position of a simple data element, or the relative position of a composite data structure with the relative position of the component within the composite data structure, in error; in the data segment the count starts with 1 for the simple data element or composite data structure immediately following the segment ID Component Data Element Position in Composite C03002 1528 O N0 1/2 To identify the component data element position within the composite that is in error AK402 725 **Data Element Reference Number** Reference number used to locate the data element in the Data Element Dictionary Used when the data element number can be determined. For example, the Data Element Reference Number for this data element is 725. All references numbers are found with the segment descripton in the implementation guide. M AK403 723 ID 1/3 **Data Element Syntax Error Code** M Code indicating the error found after syntax edits of a data element Mandatory data element missing 2 Conditional required data element missing. Too many data elements. 4 Data element too short. 5 Data element too long. 6 Invalid character in data element. Invalid code value. 8 Invalid Date 9 Invalid Time 10 **Exclusion Condition Violated** Copy of Bad Data Element AK404 724 AN 1/99 This is a copy of the data element in error Used to provide a copy of erroneous data to the original submitter, but this is not used if the error reported is an invalid character.



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010

C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

	Segment:	AK5	Transacti	on Set Response Trailer
	Position:	060	11411541011	on see neeponse remer
	Loop:	AK2	Optional	
	Level:	71112	Optional	
	Usage:	Mandato	rv	
	Max Use:	1	-)	
	Purpose:		wledge acce	eptance or rejection and report errors in a transaction set
	Syntax Notes:			F
S	Semantic Notes:			
	Comments:			
			Data E	lement Summary
	Ref.	Data		
	Des.	Element	Name	
	Attributes	=4=		G
[AK501	717	Code indicat	a Set Acknowledgment Code M ID 1/1 ing accept or reject condition based on the syntax editing of the transaction
			set	Aggentad
			A E	Accepted Accepted But Errors Were Noted
			M	Rejected, Message Authentication Code (MAC) Failed
			R	Rejected
			W	Rejected, Assurance Failed Validity Tests
			X	Rejected, Content After Decryption Could Not Be Analyzed
	AK502	718	Transaction	Set Syntax Error Code O ID 1/3
				ting error found based on the syntax editing of a transaction set
			1	Transaction Set Not Supported
			2 3	Transaction Set Trailer Missing Transaction Set Control Number in Header and Trailer Do Not
			3	Match
			4	Number of Included Segments Does Not Match Actual Count
			5	One or More Segments in Error
			6	Missing or Invalid Transaction Set Identifier
			7	Missing or Invalid Transaction Set Control Number
			8	Authentication Key Name Unknown
			9 10	Encryption Key Name Unknown Requested Service (Authentication or Encrypted) Not Available
			11	Unknown Security Recipient
			12	Incorrect Message Length (Encryption Only)
			13	Message Authentication Code Failed
			15	Unknown Security Originator
			16	Syntax Error in Decrypted Text
			17	Security Not Supported
			19	S1E Security End Segment Missing for S1S Security Start
			20	Segment S1S Security Start Segment Missing for S1E Security End
			20	Segment Segment Wissing for STE Security End Segment
			21	S2E Security End Segment Missing for S2S Security Start Segment
			22	S2S Security Start Segment Missing for S2E Security End Segment
			23	Transaction Set Control Number Not Unique within the Functional Group
			24	S3E Security End Segment Missing for S3S Security Start



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C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

		25	S3S Security Start Segment Missing	for S3E Secu	rity End
			Segment	,	J
		26	S4E Security End Segment Missing	for S4S Secur	ity Start
			Segment		
		27	S4S Security Start Segment Missing	for S4E Secu	rity End
			Segment	, ~ ~	,
AK503	718	Transaction	Set Syntax Error Code	0	ID 1/3
			ng error found based on the syntax editing of a	a transaction se	et
			codes indicated in AK502.		
AK504	718	Transaction	Set Syntax Error Code	0	ID 1/3
			ng error found based on the syntax editing of a	a transaction se	et
		Use the same	codes indicated in AK502.		
AK505	718	Transaction	Set Syntax Error Code	O	ID 1/3
			ing error found based on the syntax editing of a	a transaction se	et
		Use the same	codes indicated in AK502.		
AK506	718		Set Syntax Error Code	0	ID 1/3
			ng error found based on the syntax editing of a	a transaction se	et
			codes indicated in AK502.		



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010

C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

	Segment:	AKS	Functional	Group Response Trailer				
	Position:	070						
	Loop:							
	Level:							
	Usage:	Mandato	ry					
	Max Use:	1			11			
	Purpose:	To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group						
	Syntax Notes:							
	Semantic Notes:							
	Comments:		K901 contains p is accepted.	the value "A" or "E", then the transmit	ted functional			
	Dof	Data	Data Ele	ement Summary				
	Ref. Des.	Data Element	Name					
	Attributes	Element	Name					
M	AK901	715	Functional G	roup Acknowledge Code	M	ID 1/1		
			Code indicatin	ng accept or reject condition based on the sys	ntax editing of t	he functional		
			group	tring the male with the HER drop drop to the control of	. 16			
			A AK901 cont	tains the value "A" or "E", then the transmit Accepted	ted function gro	oup is accepted.		
			E	Accepted Accepted, But Errors Were Noted.				
			M	Rejected, Message Authentication		ailed		
			P	Partially Accepted, At Least One 7				
			R	Rejected				
			W	Rejected, Assurance Failed Validit				
M	AK902	97	X Number of Tr	Rejected, Content After Decryptio ransaction Sets Included	n Could Not Be	No 1/6		
141	AROUZ	,,		of transaction sets included in the functional				
				group terminated by the trailer containing t	C 1	C		
				ue in the original GE01.				
M	AK903	123		eceived Transaction Sets	M	N0 1/6		
	4.7700.4	•		ansaction Sets received		NO 1/6		
M	AK904	2		ccepted Transaction Sets cepted Transaction Sets in a Functional Gro	M	N0 1/6		
	AK905	716		roup Syntax Error Code	uр О	ID 1/3		
	1111,00			ng error found based on the syntax editing of				
			and/or trailer	, ,		- •		
			1	Functional Group Not Supported				
			2 3	Functional Group Version Not Sup				
			3 4	Functional Group Trailer Missing Group Control Number in the Func		leader and		
			•	Trailer Do Not Agree	onur Group II			
			5	Number of Included Transaction S	Sets Does Not M	latch Actual		
				Count				
			6	Group Control Number Violates S				
			10 11	Authentication Key Name Unknown Encryption Key Name Unknown	vn			
			12	Requested Service (Authentication	or Encryption)	Not Available		
			13	Unknown Security Recipient	of Eneryphon)	110t Available		
			14	Unknown Security Originator				
			15	Syntax Error in Decrypted Text				
			16	Security Not Supported				
			17	Incorrect Message Length (Encryp				
12 4	010(004010)		18	Message Authentication Code Fai	ied S	September 7, 20		



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C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (continued)

		19	S1E Security End Segment Mi Segment	ssing for S1S Secu	rity Start
		20	S1S Security Start Segment M	issing for S1E End	Segment
		21	S2E Security End Segment Mi Segment		
		22	S2S Security Start Segment M Segment	issing for S2E Secu	rity End
		23	S3E Security End Segment Mi Segment	ssing for S3S Secu	rity Start
		24	S3S Security Start Segment M	issing for S3E End	Segment
		25	S4E Security End Segment Mi Segment	ssing for S4S Secu	rity Start
		26	S4S Security Start Segment M Segment	issing for S4E Secu	rity End
AK90	06 716	Functional G	roup Syntax Error Code	0	ID 1/3
		and/or trailer	g error found based on the syntax editir	ng of the functional	group header
A 77.07	0.5	0.00 1110 0111110	codes indicated in AK905.	0	ID 1/2
AK90	07 716	Code indicatin and/or trailer	roup Syntax Error Code g error found based on the syntax editin codes indicated in AK905.	Ong of the functional	ID 1/3 group header
AK90	08 716	Functional G	roup Syntax Error Code	0	ID 1/3
		Code indicatin	g error found based on the syntax editing	ng of the functional	group header
		and/or trailer	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		
)0 – 4	Use the same of	codes indicated in AK905.		VD 4/2
AK90	09 716	Use the same of Functional Grand/or trailer	codes indicated in AK905. roup Syntax Error Code g error found based on the syntax editir codes indicated in AK905.	O ng of the functional	ID 1/3 group header



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FILES MDCH SENDS TO SUBMITTERS: ANSI X12 997 FUNCTIONAL ACKNOWLEDGMENT, V. 4010

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C2.2 ANSI X12 997 Functional Acknowledgment, Version 4010 (concluded)

 ${\bf SE}_{\ {f Transaction \ Set \ Trailer}}$ **Segment:**

Position:

Loop:

Level:

Mandatory Usage:

Max Use:

Purpose: To indicate the end of the transaction set and provide the count of the

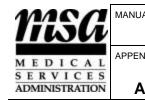
transmitted segments (including the beginning (ST) and ending (SE) segments)

Syntax Notes: Semantic Notes:

Comments: 1 SE is the last segment of each transaction set.

Data Element Summary

	Ref.	Data			
	Des.	Element	<u>Name</u>		
	Attributes				
M	SE01	96	Number of Included Segments	M	N0 1/10
			Total number of segments included in a transaction set including ST	and S	SE segments
M	SE02	329	Transaction Set Control Number	M	AN 4/9
			Identifying control number that must be unique within the transaction group assigned by the originator for a transaction set	set i	functional
			The Transaction Set Control Number in ST02 and SE02 must be idea is assigned by the originator and must be unique within a functional		
			The number also aids in error resolution research. For example, start	with	the numnber
			0001 and increment from there.		



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